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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/797,296
Filing Date	March 9, 2004
First Named Inventor	Dana LEE
Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	2102397-992471

Total Number of Pages in This Submission

17

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____  Remarks	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please Identify below): 1. Copy of Notice to File Corrected Application Papers; 2. Transmittal of Formal Drawings; and 3. Return Post Card.
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### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Or Individual name	Ronald L. Yin, Reg. No. 27,607
Signature	<i>Ronald L. Yin</i>
Date	July 26, 2004

### CERTIFICATE OF TRANSMISSION/MAILING

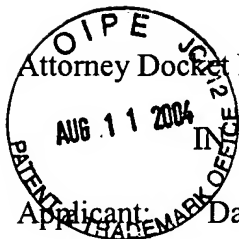
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Rosa A. Caviedes		
Signature	<i>Rosa A. Caviedes</i>	Date	July 26, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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Attorney Docket No.: 2102397-992471

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Dana LEE

Serial No. 10/797,296

Group Art Unit: Not yet assigned


Filed: March 9, 2004

Examiner: Not yet assigned

Title: **BURIED BIT LINE NON-VOLATILE FLOATING GATE MEMORY CELL  
WITH INDEPENDENT CONTROLLABLE CONTROL GATE IN A TRENCH,  
AND ARRAY THEREOF, AND METHOD OF FORMATION**

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Rosa A. Caviedes

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RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

**M/S MISSING PARTS**

Commissioner for Patents  
Alexandria, VA 22313-1450

Sir:

In response to the "Notice to File Corrected Application Papers" mailed by the United States Patent and Trademark Office on May 26, 2004, the following documents are enclosed to complete the filing of the above-referenced patent application:

1. Transmittal of Formal Drawings (2 pgs.);
2. Twelve (12) sheets of formal drawings;
3. Copy of Notice to File Corrected Application Papers (2 pgs.); and
4. Return Postcard.

Attorney Docket No.: 2102397-992471

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: July 26, 2004

By Ronald L. Yin  
Ronald L. Yin  
Reg. No. 27,607  
Attorney for Applicants

Gray Cary Ware & Freidenrich LLP  
2000 University Avenue  
East Palo Alto, CA 94303-2248  
Telephone: (650) 833-2437  
Facsimile: (650) 833-2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

AUG 11 2004

APPLICATION NUMBER	FILING OR 371 (S) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/797,296	03/09/2004	Dana Lee	2102397-992471

26379  
 GRAY CARY WARE & FREIDENRICH LLP  
 2000 UNIVERSITY AVENUE  
 E. PALO ALTO, CA 94303-2248

CONFIRMATION NO. 4439

## FORMALITIES LETTER



\*OC000000012777470\*

Date Mailed: 05/26/2004

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

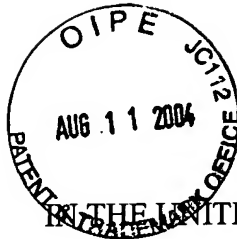
- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1)); See Figure(s) 1b, 1c, 3.

Replies should be mailed to: Mail Stop Missing Parts  
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 P.O. Box 1450  
 Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Attorney Docket No.: 2101239-991011

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Dana LEE

Serial No. 10/797,296

Group Art Unit: Not yet assigned

Filed: March 9, 2004

Examiner: Not yet assigned

Title: **BURIED BIT LINE NON-VOLATILE FLOATING GATE MEMORY CELL  
WITH INDEPENDENT CONTROLLABLE CONTROL GATE IN A TRENCH,  
AND ARRAY THEREOF, AND METHOD OF FORMATION**

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July 26, 2004

Rosa A. Caviedes

\* \* \*

TRANSMITTAL OF FORMAL DRAWINGS

ATTN: OFFICIAL DRAFTSPERSON

M/S MISSING PARTS

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Transmitted herewith are twelve (12) sheets of formal drawings for the above-identified application.

Please address all future communications regarding this application to:

Ronald L. Yin  
GRAY CARY WARE FREIDENRICH LLP  
2000 University Avenue  
East Palo Alto, CA 94303-2248

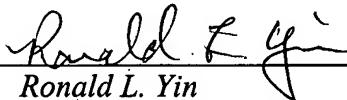
Please direct all telephone calls to Ronald L. Yin (650) 833-2437.

Please charge any additional fees, including any fees necessary for extensions of time, or credit overpayment to Deposit Account No. 07-1896.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: July 26, 2004

By   
Ronald L. Yin  
Reg. No. 27,607  
Attorney for Applicants

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